Medway Council Strategic Risk Register - Quarter 2 2020/21

Ref	Page	Risk	Owner	Inherent Risk Score	Current Risk Score	Target Risk Score	Movement (since last qtr)	Definition (current score) (L-likelihood) (I-impact)	Council Priority/ Ways of Working (WOW)	O&S Committee
SR17	4	Delivering regeneration	Director of Place	**BII**	**BII**	**CII**	→	L - high I - critical	Growth	RCE
SR47 **NEW**	10	Climate Change	AD Frontline Services	**AII**	**AII**	**DIII**	**n/a**	L – very high I - critical	Place	RCE
SRO3B	13	Finances	Chief Finance Officer	**AI**	**AI**	**CIII**	→	L – very high I - catastrophic	All/WOW	BS
SR46	16	Medway's Economic Recovery from Covid19	Assistant Director Regeneration (Recovery Lead Officer for Medway Council)	**BII**	**BII**	**CII**	→	L - high I - critical	All/WOW	BS
SR32	21	Data and information	Chief Legal Officer	**BII**	**CII**	**DIII**	→	L - significant I - critical	All/WOW	BS
SR36	24	Alternative service delivery models	Chief Legal Officer, Chief Finance Officer	**BII**	**BIII**	**CIII**	→	L - high I - Marginal	All/WOW	BS
SR37	28	Cyber Security	Chief Finance Officer	**CI**	**CI**	**CI**	→	L - significant I – Catastrophic	All/WOW	BS
SR02	35	Business continuity and emergency planning	Director of Place Chief Finance	**C1**	**DII**	**DII**	→	L - low I - critical	All/WOW	BS

			Officer							
SR35		Homelessness	AD Physical and Cultural Regeneration	**BII**	**CIII**	**DIII**	→	L - significant I - marginal	Growth	BS
SR09A		Changing Demographics of Older People and Working Age Adults	Director of People – C&A	**AI**	**BII**	**DIII**	→	L - high I - critical	People	HASC
SR09B		Keeping vulnerable adolescents safe	Director of People – C&A	**BII**	**BII**	**DIII**	→	L - high I - critical	People	CYP
SR26		Non-delivery of Children's Services Improvement	Director of People – C&A	**AII**	**AII**	**DIII**	→	L – very high I - critical	People	CYP
SR39		Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures	Director of People – C&A	**BII**	**BII**	**DIII**	→	L - high I - critical	People	CYP

Strategic Risk Profile

Key

Low risk/priority	Green
Medium risk/priority	Amber
High risk/priority	**Red**

	Negligible impact IV	Marginal impact III	Critical impact II	Catastrophic impact I
Very high likelihood A	Amber	Red	Red 26, 47	Red 03B
High likelihood B	Amber	Amber 36	Red 09B, 39, 17, 09A 46	Red
Significant likelihood C	Green	Amber 35	Red 32, 48	Red 37
Low likelihood D	Green	Amber	Amber 02	Amber
Very low likelihood E	Green	Green	Amber	Amber
Almost impossible F	Green	Green	Amber	Amber

KEY	update

STRATEGIC RISK: SR17 Delivering regeneration

RISK OWNER: Director of Place and Deputy Chief Executive

PORTFOLIO: Inward Investment, Strategic Regeneration and Partnerships

Current Residual Risk Score BII (Likelihood – high. Impact – critical)

The Regeneration programme and in particular Innovation Park Medway and the flag ship waterfront developments are managed at Member, officer and partner level through individual boards and the projects are managed at a more operational level through officer groups and RCET DMT.

Those schemes funded through the LEP also must adhere to a rigorous reporting process to ensure that they are on time and within budget.

The advent of Covid-19 will place additional pressures on delivery of capital projects and therefore funding deadlines.

Inherent Risk Score BII

Medway's regeneration plans seek to meet the needs of anticipated population growth of 50,000 people in Medway, with up to 20,000 jobs and 29,000 new homes in the next 20 plus years.

There are challenges for the provision and maintenance of effective infrastructure. Areas of concern are flood protection, highways, health and water capacity.

It is vital the benefits are felt by the population of Medway, so that the new jobs are not only filled by people from outside the area, and trends of commuting out are addressed.

Economic uncertainty could delay regeneration and growth, impacting on strategic decisions and inward investment.

Target Residual Risk Score CII

Failure by the Council to deliver its ambitious regeneration plans would have a critical impact in Medway, by not delivering the housing, jobs and infrastructure required for its growing population. There is little that can be done to lessen this *impact* and so the focus must be on reducing the *likelihood* of failure to a more tolerable level.

Dialogue will be opened with funding providers such as SELEP and HE regarding funding envelopes and delays to programmes relating to Covid-19.

Trigger

- The Council fails to deliver its economic, skills and infrastructure regeneration programme.
- House/property building companies start to delay developments.
- Potential lack of companies wanting to locate in Medway.

Consequence

- Regeneration projects not completed.
- Potential damage to Council's reputation.

STRATEGIC RISK: SR17 Delivering regeneration
• Not able to meet member, government and the public's expectations. • Deteriorating physical and infrastructure assets. • Investment wasted. • Young people are not catered for in the 'new world'. • Low skills base among some residents remains. • Disconnect between skills and employment opportunities. • Maintenance of low aspiration culture. • Increased commuting and pressure on transportation. Negative impact on community cohesion.
Opportunities and the way forward The current regeneration programme is large and is being supplemented by the programme of works planned by Medway Development Company and the partnership with Norse Commercial Services. This means that the Council's capacity is already stretched, however the Council has demonstrated its appetite for a 'mixed economy' of approaches to deliver regeneration and new opportunities are being explored with other partners, including private sector organisations.

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.01: Outline infrastructure needs identified
Lead Officer Director of Place
Desired Outcome: Expected Output Identification of inward investment priorities. Progressing key regeneration sites and infrastructure plan jointly with KCC. Production of Infrastructure Delivery Plan (IDP) to support Local Plan. **Milestones** Secure funding 20-year development programme Preparation of IDP to support submission of Local Plan
Progress Update. September 2020 Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 and the Grant Determination Agreement, securing £170m, was signed by Homes England and the Council in late July 2020. The secured funding will support the development of rail, road, and strategic environmental (SEMS) infrastructure to unlock the development of a possible 10,600 homes. Officers have been appointed to the key delivery posts for road, rail and SEMS, and a Scheme Manager has been appointed to support

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.01: Outline infrastructure needs identified
project management and monitoring. The first (of two) historic claims was submitted in August 2020. Subsequent claims will be made monthly. HIF branding is now complete and will focus on the Future Hoo as a strapline. Works across all three interventions continues with the Rail's GRIP 3 commenced Road moving on to RIBA stage 4. SEMS has had a Pre-App meeting for a new community parkland. Cashflow and Delivery Programmes have been revised to ensure delivery by March 2024. Land Consenting strategies are being finalised with a view to commencing pre application consultations between October and December 2020. Land referencing works (of over 900 titles) is completed. Monthly meetings now take place between the Hoo Consortium and the Council, with a Non-Disclosure Agreement supporting the development of a Collaboration Agreement. The same will be in place for Homes England's delivery arm.

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.02: Homes England) alerted to the impact of lack of funding and dialogue opened with External Partners
Lead Officer Director of Place
Desired Outcome: Expected Output Homes England confirm any funding commitment to projects and plans for their sites. Funding identified to continue regeneration. **Milestones** Regeneration projects agreed with Members
Progress Update. September 2020 See mitigating action SR 17.02

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.03: Regular meetings with stakeholders including developers to lever in external funding and bring forward transformational programmes
Lead Officer Director of Place
Desired Outcome: Expected Output External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Investors come forward for regeneration sites. **Milestones** As detailed in individual delivery plans

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.03: Regular meetings with stakeholders including developers to lever in external funding and bring forward transformational programmes
Progress Update. September 2020 See mitigating action SR 17.02

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway.
Lead Officer Director of Place
Desired Outcome: Expected Output External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs. Growing Places Fund (GPF): £4.4m Rochester Riverside; £2.99m Chatham Waterfront. £650K Innovation Park Medway £41.7m Local Growth Funding from the Local Enterprise Partnership. 1.99m allocated from the Getting Building Fund (GBF) **Milestones** As detailed in individual delivery plans
Progress Update. October 2020 Medway has made successful bid submissions to SELEP for nine LGF projects, totalling £41.7m across four bidding rounds. This includes the April 2019 allocation of £1.5m of LGF3b funding to the Innovation Park Medway (IPM). This funding has been awarded, subject to conditions being met in autumn 2020, including a signed letter from the S151 Officer confirming funds have been identified for associated highways mitigation works. It also includes £11.1m of funding for the A289 project, which will instead be delivered by the successful HIF bid, and as such £9.3m has been returned to SELEP for reallocation. Medway has also successfully bid for over £8m across three rounds of Growing Places Fund (GPF) loan investment, supporting Chatham Waterfront, Rochester Riverside and the Innovation Park Medway. We have in addition supported a £500k GPF bid from Chatham Historic Dockyard Trust for developments at the Fitted Rigging House. MHCLG announced Getting Building Funding in June 2020, of which £85m has been allocated to SELEP. Medway submitted two bids - the Britton Farm Redevelopment Learning Skills and Employment Hub project for £1.99m and the Innovation Park Medway – Smart Sustainable City of Business project for £3m. Britton Farm has been favoured by MHCLG and prioritised by KMEP and SELEP, and a Gate 2 Business Case was submitted to SELEP and the Independent Technical Evaluator in September 2020 for consideration at October Board. Innovation Park Medway is at the top of the reserve list should any of the projects allocated funding not proceed with their

Strategic Risk SR17 Delivering regeneration Mitigating Action SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway.
Business Case submission or should their Business Cases not be approved. The SELEP Local Industrial Strategy did not progress to formal government endorsement prior to Covid-19 and will be replaced by a SELEP Economic Recovery Plan. Government guidance on the structure of this plan is awaited, but Medway Council will provide full support – as it did for the LIS, and has continued to do at KMEP-level for the Kent and Medway Renewal and Resilience Plan, which has been supported through Medway Council's Covid-19 Response and Recovery structures. The funding landscape post-LGF / GBF funding remains unclear, with consultation on EU-successor funds (the Shared Prosperity Fund) not yet underway.

Strategic Risk SR17 Delivering regeneration Mitigating Action SR17.05: Working towards the adoption of the new Medway Local Plan.
Lead Officer Director of Place
Desired Outcome: Expected Output New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth. To prepare the Medway Local Plan and as outlined in the Local Development Scheme published August 2020 **Milestones** Publication of Draft Local Plan 2021 Independent Examination of plan - 2022
Progress Update. September 2020 New Local Development Scheme published August 2020. Working to publication of draft plan Spring 2021. Working to publication of draft Local Plan with proposed development allocations and policies to manage Medway's growth. Strategy supported by comprehensive evidence base and assessment processes to meet tests of independent Examination. Joint work on infrastructure planning and Hoo Development Framework with HIF project team.

Strategic Risk SR17 Delivering regeneration Mitigating Action SR17.06: To seek additional external funding opportunities.
Lead Officer Assistant Director Regeneration
Desired Outcome: Expected Output Ensuring Medway's Regeneration programme is delivered. Additional funding streams identified and secured. **Milestones**

Strategic Risk SR17 Delivering regeneration Mitigating Action SR17.06: To seek additional external funding opportunities.
Secure funding for Council owned sites
Progress Update. October 2020 Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 and the Grant Determination Agreement, securing £170m, was signed by Homes England and the Council in late July 2020. A full Business Case for Future High Streets Fund for Chatham town centre was submitted on 30 April 2020. An announcement regarding successful bids is expected in the autumn. In September we were awarded £12,000 to support our £1.6m High Streets Heritage Action Zone funding. This has a specific focus on supporting a cultural consortium for the area. MHCLG announced Getting Building Funding in June 2020, of which £85m has been allocated to SELEP. Medway submitted two bids - the Britton Farm Redevelopment Learning Skills and Employment Hub project for £1.99m and the Innovation Park Medway – Smart Sustainable City of Business project for £3m. Britton Farm has been favoured by MHCLG and prioritised by KMEP and SELEP, and a Gate 2 Business Case was submitted to SELEP and the Independent Technical Evaluator in September 2020 for consideration at October Board. Innovation Park Medway is at the top of the reserve list should any of the of the projects allocated funding not proceed with their Business Case submission or should their Business Cases not be approved. A successful Expression of Interest was submitted to the Department of Business, Energy and Industrial Strategy (BEIS) for £45,150 for Heat Network Delivery Units (HNDU) Round 9. The project will complete an Energy Masterplanning study and Heat Mapping exercise to understand the potential of Heat Networks across the Hoo Peninsula and wider Medway. A c. £2m Expression of Interest is being developed for the 'Whose Hoo' heritage project on the Hoo Peninsula looking at community and heritage initiatives relating to Slough Fort, tree planting, paths, cycleways and community engagement. Submission for this EOI has been delayed as a result of Covid-19 changes to the funding stream, with the National Lottery Heritage Fund encouraging the Council to continue to develop the bid with a view to submission in 2021.

Strategic Risk SR17 Delivering regeneration Mitigating Action SR17.07: Submission of a successful Business Case for Housing Infrastructure Fund (HIF) funding for the peninsula.
Lead Officer Assistant Director Regeneration
Desired Outcome: Expected Output Delivering major infrastructure improvements to unlock the potential of the Hoo peninsula. £170m secured via a successful Business Case submission.
Progress Update. September 2020 The Grant Determination Agreement to unlock £170m HIF investment for the Hoo peninsula was signed in late July following Cabinet and Full Council approval in April.

STRATEGIC RISK: SR47 Climate Change NEW RISK

RISK OWNER: AD Frontline Services

PORTFOLIO: COMMUNITY SERVICES

Current Residual Risk Score AII (Likelihood – very high. Impact – critical)

Climate change is a Council Plan programme for 2020/21

Climate Change Action Plan needs to be produced. Currently waiting on consultants to finalise Medway Net Zero Carbon Baseline and Pathway report before work can commence on the Climate Change Action Plan. The Climate Change Co-ordinator is also still driving forward other Climate Change projects and thus there is a resourcing issue.

Inherent Risk Score AII

- The council has signed up to the Kent and Medway Energy and Low Emissions Strategy which has the vision that 'by 2050 the county of Kent has reduced emissions to Net-Zero and is benefiting from a competitive, innovative and resilient low carbon economy, where no deaths are associated with poor air quality'. There is a risk that this vision will not be achieved.
- If a Climate Change Action Plan is not produced and implemented by the Council there is a risk that the net zero target will not be reached by 2050.
- The success of the Climate Change Action Plan will require collaboration between all services, residents of Medway and the Climate Change Coordinator to meet the net zero target by 2050.
- There is a risk that the organisation as a whole does not have the capacity/funding to fulfil the requirements of the Climate Change Action Plan which will put the intended outcome of being net zero by 2050 in jeopardy.

Target Residual Risk Score DIII

Climate Change Action Plan will be produced by December 2020 and then approval sought from MAB (February 2021) and subsequently Cabinet approval (March 2021).

The focus for the Climate Change Co-ordinator for Q3 will be the production of the Climate Change Action Plan as this underpins the whole project.

Resources being sought for staff and project development in 2021 onwards. To enable Medway to reach the extremely challenging targets early intervention are needed and associated significant resources and funding to enable a modal shift in operations.

The scale of the need will be clear once the bassline report is complete (End Q3 2020).

Trigger

- Climate Change Action Plan not produced and implemented
- Funding not available to implement Climate Change Action Plan
- The Council fails to deliver the Climate Change Action Plan and the vision set out in the Kent and Medway Energy and Low Emissions Strategy.
- Staffing resources not available to implement/drive Climate Change Action Plan forward

STRATEGIC RISK: SR47 Climate Change NEW RISK
• Lack of support for the climate change agenda • Project impacted by Covid-19; staff being redeployed, and funding reduced. • Brexit may have a negative impact on achieving the net zero target by 2050 – UK's exit from the single market may have an impact on trade for low-carbon goods
Consequence • Potential damage to Councils reputation • Not able to meet member's, government and the public's expectations • Net zero by 2050 is not achieved
Opportunities and the way forward Leading the way with Climate Change, will give the council the opportunity to provide the local community with a clean, green sustainable future and enhance the Medway area. Some of the options which will support climate change may also have the additional benefit of saving the council money in the longer term, such has been seen by the conversion to LED lighting on street columns.

Strategic Risk SR47 Climate Change Mitigating Action SR47.01 Finalisation of Medway Net Zero Carbon Baseline and Pathway report and Production of Climate Change Action Plan
Lead Officer Head of Environmental Services
Desired Outcome: Expected Output Medway Net Zero Carbon Baseline and Pathway report and Climate Change Action Plan approved by MAB in February 2021 and signed off by cabinet in March 2021. **Milestones** Climate Change Members Advisory Board meetings, Climate Change Steering Group meetings and Council Plan quarterly reporting
Progress update. September 2020 Draft report off consultants being reviewed by team for issue to DMT and CMT in Jan 2021.

Strategic Risk SR47 Climate Change Mitigating Action SR47.02 Implementation of a five-year cross cutting Climate Change Action Plan setting out medium and long term outputs to achieve measurable change
Lead Officer Head of Environmental Services
Desired Outcome: Expected Output Medway to achieve the net zero target by 2050

Strategic Risk SR47 Climate Change Mitigating Action SR47.02 Implementation of a five-year cross cutting Climate Change Action Plan setting out medium and long term outputs to achieve measurable change
Measures within the Climate Change Action Plan to be implemented and carbon savings measured Annual reporting on progress made towards net zero target **Milestones** Climate Change Members Advisory Board meetings, Climate Change Steering Group meetings and Council Plan quarterly reporting
Progress update. September 2020 Success will be measured by - Emissions, Air Quality, Energy, Transport and Housing and fuel poverty.

Strategic Risk SR47 Climate Change Mitigating Action SR47.03 Drive the Air Quality Action Plan forward to effect improvement in Air Quality across Medway.
Lead Officer Head of Environmental Services
Desired Outcome: Expected Output To monitor the 12 projects within the AQAP To collect data monthly from air quality monitoring sites In real time collect data from two air quality monitoring stations and publish on Kentair.org Produce annual status report which includes updates on 12 projects & air quality data) & submit to Defra for validation June each year **Milestones** Annual air quality measures reported to Defra by June each year. Defra then publish validated data in August/Sept each year.
Progress update. September 2020 .

STRATEGIC RISK: SR03B FINANCES
RISK OWNER: CHIEF FINANCE OFFICER
PORTFOLIO: LEADER'S
Current Residual Risk Score AI (Likelihood – very high. Impact – catastrophic) Demographic pressures in adult social care, children's care and SEND remain a significant issue, but this has been further exacerbated by the impact of the Covid-19 pandemic. The Government has moved swiftly to address the in-year pressures, both in terms of direct expenditure and losses of income, but it is still not certain that this will be enough. It has also put in place a generous package of support for businesses and vulnerable people, which for now has insulated the economy from the worst effects – business failure and unemployment. Whilst the Spending Review remains live, the Chancellor has indicated that there will be no Autumn Budget Statement, which will make effective financial planning all but impossible. Across the sector, many local authorities are highlighting the risk of Section 114 notices and against this very uncertain backdrop the residual risk remains at AI.
Inherent Risk Score AI There continues to be a major risk over the Council's ability to deliver a balanced budget, whilst at the same time delivering good quality services to the people of Medway. The move away from central support from Government and greater reliance on local taxation through council tax and retained business rates, whilst providing local authorities with the opportunity to benefit directly from growth, also brings with it significant risks to overall funding.
Target Residual Risk Score CIII The objective of the medium term planning process is to forecast the budget 'gap' over a number of years, taking into account assumptions around demographic, inflationary and other pressures and projecting forward the future funding from council tax, business rates and Government grant. Ultimately the aim would be to get to a position where the MTFS, through robust strategic plans, presents a balanced budget year on year, protecting and increasing reserves and providing assurance to the Council that its financial position is secure and sustainable. There will always however be a significant residual risk, as the MTFS is based upon uncertain assumptions in respect of the Council's tax base, the Government's finances, demographic pressures, inflation, interest rates and the economic climate.
Trigger The years of austerity and annual reductions in central support from Government, allied to the capping of council tax increases and culminating in the introduction of the business rate retention scheme. This has been exacerbated by the demographic pressures in both adult social care and children's care, pressures in relation to homelessness and pressures on pay and prices, not least the national living wage.
Consequence • Very difficult decisions around funding allocation; • Service cuts;

STRATEGIC RISK: SR03B FINANCES
• Quality of service compromised; • Cutback in staffing on an already lean organisation; • VFM Judgement; • Negative local publicity; • Damage to reputation.
Opportunities and the way forward The key to improving the effectiveness of the Council's financial planning and management is to address the uncertainty around future funding and improve the forecasting of cost pressures. The failure of Central Government to articulate how it intends to ensure the sustainability of local government has made this task virtually impossible, however the Finance Management Team continue to work closely with colleagues within the Planning and Regeneration teams, with a view to more accurately projecting future council tax and business rates. The Covid-19 pandemic is likely to cause far-reaching impacts, not least on the Council's financial sustainability and has exacerbated how challenging it is to project future resources, however it has also offered an opportunity and impetus to radically review the types of services we offer and the way we provide them. Finally, the Medium Term Financial Strategy has, as its theme, financial resilience and sustainability, with a clear focus on managing and rebuilding reserves.

Strategic Risk SR03B Finances Mitigating Action SR03B.01: Need to ensure effective response to the spending review, but also lobbying for greater local powers to raise revenues
Lead Officer Chief Finance Officer
Desired Outcome: Expected Output Co-ordinate responses with members, brief MPs, agree media campaign, solicit support from peer authorities/partnerships Unmodified VFM opinion in respect of the adequacy of financial planning and effective budgetary control Increased devolution of tax raising powers to the Council
The Covid-19 crisis has made meaningful longer term planning impossible and so the sector continues to lobby for a meaningful long term spending review. Alas the Chancellor's decision not to deliver an Autumn Budget Statement is yet another blow to our financial planning process.

Strategic Risk SR03B Finances Mitigating Action SR03B.02: Align priorities and activity of the Council to resource availability through MTFS process
Lead Officer Corporate Management Team

Strategic Risk SR03B Finances Mitigating Action SR03B.02: Align priorities and activity of the Council to resource availability through MTFS process
Desired Outcome: Expected Output Robust financial planning and management, ensuring financial risks are identified and managed effectively Identification and delivery of a range of savings and income generating initiatives Co-ordinate responses with members, agree media campaign, solicit support from peer authorities Balanced budget with resources aligned to priorities, delivery of VFM and savings to ensure financial sustainability in the medium-term Unqualified VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves **Milestones** Medium Term Financial Strategy in Nov Capital and Revenue budget agreed by Council in February
Progress update. September 2020 Whilst still managing the Council's response to the pandemic, officers have also been working on recovery and it is very clear that the shape of Medway's economy and the way people work will be forever changed. The refresh of the Council Plan will focus on recovery over the next two years and presentation of the MTFS and Capital Strategy has been pushed back to November's Cabinet.

Strategic Risk SR03B Finances Mitigating Action SR03B.03: Create resources for investment priorities
Lead Officer Corporate Management Team
Desired Outcome: Expected Output Track funding opportunities Maximise capital receipts on asset disposal Prudential borrowing Revenue returns from investments and capital assets and appreciation in capital asset values
Progress update. September 2020 We have pushed back presentation of the Capital Strategy to Cabinet, alongside the MTFS in November. This will need to align with our Recovery Strategy, which at its heart will be investment in ICT, more decentralised working arrangements and a review of our operational property portfolio and our need for office accommodation in a post-Covid world.

Strategic Risk SR03B Finances Mitigating Action SR03B.04: Delivery of digital transformation programme
Lead Officer Transformation Board
Desired Outcome: Expected Output Development of high quality digital services Delivery of efficiency savings through enhanced processes High quality digital services and reduced service delivery cost Improved value for money in delivery of Council services
Progress update. September 2020 The significant pressures being experienced in both Children's and Adults Services represent the greatest risks to the Council's financial sustainability and so the Business Change Programme is being reprioritised to focus on improving processes, managing demand and reducing placement costs across Children's and Adults Social Care.

STRATEGIC RISK: SR46 MEDWAY'S ECONOMIC RECOVERY FROM COVID-19
RISK OWNER: ASSISTANT DIRECTOR REGENERATION (RECOVERY LEAD OFFICER FOR MEDWAY COUNCIL)
PORTFOLIO: LEADER'S
Current Residual Risk Score BII (Likelihood – high. Impact – critical) While in many services the Council is still in response, focus is shifting towards an effective recovery. Strategic Planning is one of the three key workstreams in the Council's Strategic Recovery Plan, with a multi-agency cell for Medway's Economy established and working closely with the Kent Resilience Forum equivalent. The council is delivering direct support for individuals and businesses as funded by the Government and continues to review delivery of core services where they can be of benefit to supporting the wider economy. The Council continues to lobby the Government for further support for local authorities, individuals and businesses.
Inherent Risk Score BII Mandatory closures and ongoing social distancing requirements have created in an exceptionally challenging trading environment, resulting in significantly reduced trade, business failure, rising unemployment and reduced levels of disposable income. MHCLG stated throughout Covid-19 that they will support local authorities to deliver an effective response to Covid-19 and continue to provide core services and providing substantial packages of support for individuals, businesses and the public sector but may not continue such funding throughout the recovery. Income from Business Rates is a fundamental income stream to Medway Council; businesses failure to pay, or business collapse leaving void properties may significantly reduce income available for the Council, hampering its ability to deliver core services and support the wider economy successfully. There is a risk of further outbreaks, which the Government has handed powers to manage to local authorities. The Council has developed

STRATEGIC RISK: SR46 MEDWAY'S ECONOMIC RECOVERY FROM COVID-19
a Local Outbreak Plan that may have to be mobilised and doing so would undoubtedly further impact on the Medway Economy. Changes to working patterns and work locations may increase pressure on utility, digital and travel infrastructures.
Target Residual Risk Score CII The risk of second wave, or local lockdown and the resultant adverse impact on Medway's economy cannot be avoided, rather the Council's action plan is designed to support the economy through any such measures and to improve long term resilience and business growth.
Trigger On the 23 March the Prime Minister announced strict curbs on the movement of people for non-essential purposes to prevent the spread of Covid-19, and all non-essential shops and businesses were ordered to close to the public. The Government has been easing restrictions as the infection rate reduced, with segments of the economy able to return to business, however with significant alterations to ensure adequate social distancing.
Consequence • Reduced economic mobility and significant rise in unemployment with disproportionate effect on young people, part-time and entry level roles, women and people in BAME communities • Increase in demand for Council services • Reduced levels of council tax and business rates liability, and increased arrears, hampering the council's ability to support the wider economy • Decreased apprenticeship vacancies • Reduced strength of Medway's business base, in particular leisure, cultural, creative and hospitality sectors • Accelerated decline of town centres and street markets • Impact on supply chains • Decreased relevance of Medway Council's strategic bases –current plans may no longer reflect business requirements or be financially viable • Digital inclusion / exclusion • Sustainability of higher and further education, and its impact on place • Climate change benefits from lockdown may not be realised into recovery • Medway's telephone/broadband infrastructure may not be sufficient to support long term shift away from central workspaces
Opportunities and the way forward • Commercial moves out of London – Medway as an attractive place to locate and do business. • Rise in working from home / associated decline in commuting means residents spend more leisure and social time and money locally. • Innovation Park Medway plans reshaped to support the post-Covid-19 economy. • Opportunities presented by the 'safe outdoors' maximising Medway's green spaces.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.01 Multi-agency Economy Cell for Recovery established including liaison with the Kent Resilience Forum Economic Recovery Cell
Lead Officer Assistant Director Regeneration
Desired Outcome: Expected Output Ensure Medway economy's objectives are adequately reflected at Kent and national level through the KRF. Oversee an effective multi-agency recovery plan for Medway.
Progress update. September 2020 The Recovery Economy Cell continues to meet regularly and has expanded its membership to include a number of external partners. It has agreed an Economy Impact Assessment, and subsequently produced a wide-ranging Economy Recovery Action Plan. Both of these documents were shared for consultation with Medway for Business (Medway's economic partnership). In August, it was agreed that the Economy and Infrastructure recovery cells would merge, and the Impact Assessments and Action Plans for both Cells were combined. The renamed Economy and Infrastructure Cell is now in the process of discharging actions to lead agencies, with the first set of discharges to be agreed in the Cell's next meeting.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.02 Delivery of government-directed financial support to businesses and individuals
Lead Officer Chief Finance Officer
Desired Outcome: Expected Output Support businesses to remain economically viable to reduce the number of business failures in Medway.
Progress update. September 2020 We have distributed the following in financial support to date: • Council Tax Hardship Fund to reduce the liability for those in receipt of Local Support for Council Tax (LSCT) by a further £150 – we have distributed £1.327million. • Expanded Business Rates Retail discount to 100%, including leisure and hospitality sites and removing the Rateable Value cap, through which we have awarded £32.498million. • Grants for small businesses and retail, hospitality and leisure businesses - we have distributed £31.835million to date, with a further £1.848million distributed through the Discretionary Grants Scheme • Business Rates holiday for non-local authority nursery schools through which we have awarded £286,000. • During Q1 the Council designed and implemented the Local Authority Discretionary Grants scheme to assist small businesses affected by Covid-19. At the end of Q2, over £1.848m had been provided to 321 businesses. Government has indicated the possibility for discretionary grant funding (but not confirmed) if there is further local or national lockdown of more than 3 weeks.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.03 Reopening High Streets Safely
Lead Officer AD Culture & Community
Desired Outcome: Expected Output To support businesses in town centres to implement adequate social distancing measures to enable re-opening.
Progress update. September 2020 Multi-agency approach taken to manage the safe reopening of High Streets 4 July with plans discussed with police colleagues, with advice and guidance materials provided to businesses. Allocation of £246,396 government grant announced. Programme document has been prepared detailing how expenditure has and is expected to be defrayed, but still awaiting formal agreement of this by MCHLG and Funding Agreement letter (due by end September). Unable to progress new project initiatives around business support, public art safety messaging and planters or claim for defrayed expenditure via quarterly claims until this agreement is received. Strict eligibility criteria restricting how the funding can be utilized and detailed financial and monitoring arrangements required to validate activities and claim appropriate expenditure. Currently c£150k forecast to be claimed including existing expenditure to date plus new project initiatives planned as above. Potential future lockdowns may also incur additional expenditure.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.04 Supporting Medway's businesses
Lead Officer AD Culture & Community
Desired Outcome: Expected Output To encourage and help facilitate the growth of businesses in Medway.
Progress update. September 2020 The council continues to contract Locate in Kent who have adjusted their working practices to support those businesses who have been adversely affected by Covid-19 and encourage continued inward investment from business outside Medway. Kent Invicta Chamber of Commerce have introduced a Covid-19 Business Advice line by phone and Webchat. Rent deferrals were agreed for businesses in Council owned workspaces including ICM and Pentagon Centre and are now being reclaimed over the next 12 months.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.05 Supporting residents' skills and employability
Lead Officer AD Culture & Community
Desired Outcome: Expected Output Increasing high value businesses, high quality employment and creating jobs and inward investment

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.05 Supporting residents' skills and employability
Progress update. September 2020 Most Skills & Employability projects have resumed, notably the Supported Employment Programme in August and Apprenticeship Advice Service in September. Medway are heavily involved in the organising of the Kent and Medway Employment Taskforce which will respond to a growing employment crisis. The Skills & Employability plan will be reviewed considering COVID-19 later in the year. Medway Adult Education has opened its buildings which are Covid compliant. Enrolments are coming in steadily at approximately 40-50% of last year. NB Adherence to social distancing regulations, classrooms can only hold 50% capacity. The online offer continues to develop and grow

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.06 Review Medway Council's Strategy base, and resultant regeneration and other programmes to ensure clarity of focus on delivery of economic growth
Lead Officer Corporate Management Team
Desired Outcome: Expected Output Effective focus of Council resources and activities that support delivery of economic growth in Medway
Progress update. July 2020 Our Strategic Recovery Plan seeks to use the opportunity to address pre-crisis, place-based structural weaknesses, increase resilience and consider innovative and transformational development models for our place and our communities going forward We have begun initial work to review and adapt our strategies and policies, such as the Councils Strategy and Medway 2035, to reflect the new normal, and have a key role to play in influencing regional (and national) policy and strategy to support identified Recovery objectives.

Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.07 Continue to lobby government to maximise support and opportunities for Medway
Lead Officer Corporate Management Team
Desired Outcome: Expected Output Sustainable funding for Medway Council and an improved business rates regime to support businesses.
Progress update. July 2020 The Council has responded to request for financial forecasts by the MHCLG setting out pressures anticipated and has engaged with officers from the Department to make a clear case for further financial support for local authorities. We will actively participate in the consultations emerging around the Government's Spending Review and the future of local taxation frameworks.

STRATEGIC RISK: SR32 Data and Information

RISK OWNER: CHIEF LEGAL OFFICER

PORTFOLIO: RESOURCES

Current Residual Risk Score CII (Likelihood – significant. Impact – critical)

The Council has a Senior Information Risk Officer (SIRO) and a Caldicott Guardian.

The Council has a Data Protection Officer.

The Council manages information risk through a Security and Information Governance Group (SIGG).

The Council has a suite of information governance policies.

The Council has information sharing agreements and protocols in place.

The Council has taken part in a "Big Data" project without any risks materialising.

Training to all officers and to Members is being rolled out successfully.

Inherent Risk Score BII

Our Transformation Programme involves an increased reliance on digital technology both for customers and the Council. This brings with is an increased information risk particularly regarding personal and health data.

Conversely not sharing information with partners and others minimises the Council's ability to improve service delivery and reduce costs. There is also a duty to share information in the interests of client care (Caldicott 2 Report).

Local Authorities are required to achieve Level 2 on the Information Governance toolkit; however opportunities to improve the Council's position with respect to the IG toolkit requirements have been identified. Failure to achieve level 2 will mean that Medway Council will lose its trusted partner status with respect to the Kent and Medway information sharing agreement.

Greater flexibility for the workforce using digital tools brings risk.

Greater availability of information from the Council brings risk.

Target Residual Risk Score DIII

Human error is completely eradicated from data and information scenarios.

Data breaches are very rare and when it occurs corrective action is taken quickly, learning implemented and accountability for future improved performance identified.

Information sharing is commonplace and well managed.

Trigger

- Budget pressures
- ICO Audit reveals areas for improvement
- Digital Strategy
- Big Data project with academics

STRATEGIC RISK: SR32 Data and Information
• Annual information governance toolkit submission
Consequence • Data loss leads to damage to reputation. • Not achieving cost efficiencies through Digital Strategy changes • Failing to achieve Members' expectations. • Failing to find new innovations • Failing to deliver good quality care for residents of Medway
Opportunities and the way forward September 2020 Reviewed no update required July 2020 When a lessons learned exercise for Covid-19 is conducted this will include identifying opportunities for the data and information.

Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.01: The Council has a Senior Information Risk Owner (Chief Legal Officer) and a Caldicott Guardian (Director of Children's and Adults Services) and in time for the General Data Protection Regulation also a Data Protection Officer (the Information Governance Manager)
Lead Officer Chief Legal Officer
Desired Outcome: Expected Output To ensure that appropriate organisational safeguards are in place for sharing information. Information governance policies and procedures are available on the intranet. Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) also exists detailing roles and responsibilities
Progress update. September 2020 Reviewed no update required July 2020 Work has continued on the General Data Protection Regulations (GDPR) project during the Covid-19 pandemic. Care will need to be taken by staff working at home to ensure that there is no increase in information risk. The Information Governance team, the Caldicott Guardian and the Senior Information Risk Officer have a role to play in mitigating this risk.

Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTIONSR32.02: Information Sharing Agreement (ISA) for Kent
Lead Officer Chief Legal Officer
Desired Outcome: Expected Output Provides the basis for ISAs within Kent organisations and outside PIAs, ISAs and SOPs and where appropriate Data Licence Agreements.
Progress update. September 2020 Reviewed no update required July 2020 Project specific ISAs etc. have been used during the Covid-19 pandemic as partner organisations have work jointly under the Civil Contingencies Act

Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.03: Security and Information Governance Group (SIGG)
Lead Officer Chief Legal Officer
Desired Outcome: Expected Output Providing a corporate overview of all information risk across projects and initiatives Minutes of SIGG meetings attended by representatives from Public Health, RCET and C&A Departments.
Progress update. September 2020 Reviewed no update required July 2020 The SIGG has continued to provide a corporate overview of this area unaffected by the Covid-19 pandemic, due to the ability to conduct remote meetings.

Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.04: Meetings between Senior Information Risk Officer (SIRO) and Caldicott Guardian on specific risks
Lead Officer Chief Legal Officer
Desired Outcome: Expected Output Good regular engagement to discuss risk areas PIAs, ISAs and SOPs co-signed where relevant

Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.04: Meetings between Senior Information Risk Officer (SIRO) and Caldicott Guardian on specific risks
Progress update. September 2020 Reviewed no update required July 2020 Where needed liaison between the SIRO and the Caldicott Guardian has taken place.

STRATEGIC RISK: SR36 Alternative service delivery models
RISK OWNER: Chief Legal Officer **CHIEF FINANCE OFFICER**
PORTFOLIO: LEADER'S
Current Residual Risk Score BIII (Likelihood – high. Impact – marginal) All alternative delivery models are required to produce business cases that are considered at Corporate Management Team and then by Cabinet. The performance of these models is regularly reviewed by Cabinet and scrutinised by the relevant Overview and Scrutiny Committee. Where issues arise these can also be discussed at Corporate Management Team, where this is a standing agenda item. Underperformance is identified by client side officers or Members and mitigating action is taken or expected. The effect of the action to date has been to develop a smooth transition and improve working relationships and clarify and confirm savings and consequences. This policy change has been a challenge to both parental expectations and operational processes and response.
Inherent Risk Score BII A growing number of council services are operated through alternative delivery models including outsourcing/insourcing, trusts, joint ventures, Local Authority Traded Companies, partnerships and shared services and joint commissioning. The primary driver for entering into such models is typically to reduce costs while protecting service delivery and building resilience. A lack of robust management of these delivery models can lead to underperformance. The new models have increased and more complex governance arrangements than traditional in-house delivery. Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model. Failures in governance that expose untreated risk.
Target Residual Risk Score CIII Ultimately as these alternative deliver models embed, the Council will be looking for increased revenue income and higher levels of performance.
Trigger

STRATEGIC RISK: SR36 Alternative service delivery models
Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated. Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model. Limited due diligence conducted on new service provider or key individuals in that provider. Weak or unclear agreements/contract and governance arrangements. Failure of a provider, risking failure to deliver services
Consequence • Failure to meet statutory responsibilities to residents. • Unexpected costs from new delivery model. • Delivery model not sustainable; responsibility for delivery of function unexpectedly transfers back to the council. • Reputation of council damaged by activities of delivery model. • Council or delivery model expectations not met by new arrangements. • No option to renegotiate terms if circumstances change. • Reduced influence / control of the council. • Delivery model operates at a loss with deficit met from local taxation
Opportunities and the way forward A Covid-19 lessons learned exercise has been carried out, and this included identifying opportunities for the alternative delivery models.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.01: Robust options appraisals, detailed business cases prepared
Lead Officer Relevant Assistant Director for each Service
Desired Outcome: Expected Output Ensure effective decision making The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable **Milestones** Cabinet considers all business cases prior to any alternative arrangements being agreed
Progress update. **September 2020** Reviewed no update required **July 2020**

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.01: Robust options appraisals, detailed business cases prepared
Business cases are provided to Cabinet for review when appropriate. The Chief Finance Officer and the Chief Legal Officer are the liaison officers for the Council's alternative delivery models.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.02: Project management approach to implementation
Lead Officer Relevant Assistant Director for each Service
Desired Outcome: Expected Output Clear agreed milestones for implementation in agreed timescale Smooth transition into new delivery model.
Progress update. **September 2020** Reviewed no update required **July 2020** Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.03: Communication & stakeholder management
Lead Officer Relevant Assistant Director for each Service
Desired Outcome: Expected Output Stakeholders informed / consulted Smooth transition into new delivery model
Progress update. September 2020 Reviewed no update required July 2020 Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.04: Sound legal and procurement advice on chosen delivery model
Lead Officer Chief Legal Officer
Desired Outcome: Expected Output Robust agreements / contracts with clarity over responsibilities Smooth operation of services, effective dispute resolution
Progress update. September 2020 Reviewed no update required July 2020 Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.05: Robust scrutiny / oversight mechanisms to ensure clear corporate understanding
Lead Officer Corporate Management Team
Desired Outcome: Expected Output Delivery model and council held accountable for quality and cost of service Council able to rely on financial information for robust financial planning High performance Financial resilience
Progress update. September 2020 September 2020 Reviewed no update required July 2020 Regular reporting through Corporate Management Team, Scrutiny Committees and Cabinet takes place for the alternative delivery models.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.06: Reporting from and on delivery models with clear outcomes
Lead Officer Relevant Assistant Director for each Service

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.06: Reporting from and on delivery models with clear outcomes
Desired Outcome: Expected Output Effective performance management High or improving performance of delivery model
Progress update. September 2020 September 2020 Reviewed no update required July 2020 Regular reporting through Corporate Management Team, Scrutiny Committees and Cabinet takes place for the alternative delivery models.

Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.07: Business continuity arrangements
Lead Officer Chief Finance Officer
Desired Outcome: Expected Output Delivery model and council both have clear roles and responsibilities in the event of any business continuity incident and Continuity of service
Progress update. September 2020 The experience of the Covid-19 response by the Council and its alternative delivery models, shows that good robust business continuity plans are in place. However there is always room for improvement and we have been diligent about capturing the lessons learned to influence refinement of our plans.

STRATEGIC RISK: SR37 Cyber Security
RISK OWNER: CHIEF FINANCE OFFICER
PORTFOLIO: RESOURCES
Current Residual Risk Score CI (Likelihood – significant. Impact – catastrophic)
The council manages cyber security risk, along with general information security risk, by having robust policies and procedures in place. These policies and associated actions are audited internally and externally with the result reported to appropriate council committees. In addition, the council is accredited against the Public Service Network code of connection criteria that provides assurances that the ICT infrastructure is managed and monitored using methods commensurate with recognised good practice and the guidance issued by CESG.

STRATEGIC RISK: SR37 Cyber Security
The recent ICT structure has put in place a dedicated ICT Network and Cyber Security Manager. This has ensured that ICT has a senior manager responsible for security who is constantly monitoring the system for potential threats and ensuring PCN compliance. All required certifications/accreditations are in place and being constantly reviewed.
Inherent Risk Score CI As there are no mitigations that are completely effective against malware infection, we should develop a defence-in-depth strategy for the organisation. This consists of multiple layers of defence with several mitigations at each layer. This will improve resilience against malware without disrupting the productivity of services. These layers will also have multiple opportunities to detect malware, and then stop it before it causes real harm to the organisation. Accepting the fact that some will get through will help plan for the day when an attack is successful, and minimise the damage caused. When building defences against malware, it is recommended that mitigations are developed in each of the following three layers: Layer 1: preventing malicious code from being delivered to devices Layer 2: preventing malicious code from being executed on devices Layer 3: increasing resilience to infection, and to enable rapid response should an infection occur
Target Residual Risk Score CI The cyber security risk is omnipresent and only by constantly maintaining the information security environment at levels accredited by CESG (PSN CoCo certification) can the council afford a degree of confidence that all that can be done is being done to mitigate this risk. The Council needs to consistently complete external auditing and security internal and external penetration testing on an annual basis to keep target residual risk to CI levels. Since all appropriate actions are being taken to maintain cyber security the risk has been managed to as low as possible. However, will remain on the strategic risk register in view of the inevitability of a cyber-attack.
Trigger Cyber security incident leading to partial or total loss of system integrity
Consequence • Reduced service delivery across multiple departments over extended period • Data Leaks • Financial loss • Reputational damage
Opportunities and the way forward Work commenced in preparing for the pre-requisites to obtain Cyber Essential Plus accreditation. Due to the moratorium this work has been paused as it is not an essential requirement to obtain this accreditation, however the work in improving cyber security has continued. This position will be reviewed after April 2020. The ICT Network & Cyber Security Manager has specific responsibilities for the security of the network, overseeing user privileges &

STRATEGIC RISK: SR37 Cyber Security
security policies, and user education and awareness. System monitoring software tools are being reviewed to determine whether there are solutions that will further strengthen the cyber security measures already in place.

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.01 Secure configuration: Remove or disable unnecessary functionality from systems, and to quickly fix known vulnerabilities.
Lead Officer Head of ICT
Desired Outcome: Expected Output Patch Management regime in place to treat known vulnerabilities **Milestones** Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **JUNE 2020** ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.02 Network security: Create and implement policies and appropriate architectural and technical responses, thereby reducing the chances of attacks succeeding
Lead Officer Head of ICT
Desired Outcome: Expected Output Network policies in place to prevent attacks **Milestones** Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **JUNE 2020** ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.03 Managing user privileges: All users should be provided with a reasonable (but minimal) level of system privileges and rights needed for their role. The granting of highly elevated system privileges should be carefully controlled and managed.
Lead Officer Head of ICT
Desired Outcome: Expected Output User policies in place to ensure system privileges meet role requirements **Milestones** Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **JUNE 2020** ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.04 User education and awareness: Users have a critical role to play in their organisation's security and so it's important that security rules and the technology provided enable users to do their job as well as help keep the organisation secure. This can be supported by a systematic delivery of awareness programmes and training that deliver security expertise as well as helping to establish a security-conscious culture
Lead Officer Head of ICT
Desired Outcome: Expected Output Information and cyber security training available to all system users. Staff induction references cyber security risks and user responsibilities for risk treatment **Milestones** Certified PSN compliance – May 2021 Bid for funds against LGA cyber security budget
Progress update. **October 2020** Reviewed. No update required. **JUNE 2020** The ICT Network & Cyber Security Manager is working with the Senior Workforce Development officer to implement an

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.04 User education and awareness: Users have a critical role to play in their organisation's security and so it's important that security rules and the technology provided enable users to do their job as well as help keep the organisation secure. This can be supported by a systematic delivery of awareness programmes and training that deliver security expertise as well as helping to establish a security-conscious culture
elearning/MetaCompliance system for use education and awareness following the success of the Kent Connects funding bid.

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.05 Incident management: All organisations will experience security incidents at some point. Investment in establishing effective incident management policies and processes will help to improve resilience, support business continuity, improve customer and stakeholder confidence and potentially reduce any impact.
Lead Officer Head of ICT
Desired Outcome: Expected Output ICT security policies in place and regularly reviewed. Any recognised cyber security incident is reported to appropriate board **Milestones** Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **DECEMBER 2019** Incident management processes were tested following a potential issue with Lagan forms. The ICT Management Team worked closely with the Information Governance Team to produce a response for the ICO. Due to the quality of the response no further action was necessary

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.06 Malware prevention: Malicious software, or malware is an umbrella term to cover any code or content that could have a malicious, undesirable impact on systems. Any exchange of information carries with it a degree of risk that malware might be exchanged, which could seriously impact your systems and services. The risk may be reduced by developing and implementing appropriate anti-malware policies as part of an overall 'defence in depth' approach.
Lead Officer Head of ICT
Desired Outcome: Expected Output Policies in place to monitor and capture known malicious code **Milestones** Certified PSN compliance – May 2021

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.06 Malware prevention: Malicious software, or malware is an umbrella term to cover any code or content that could have a malicious, undesirable impact on systems. Any exchange of information carries with it a degree of risk that malware might be exchanged, which could seriously impact your systems and services. The risk may be reduced by developing and implementing appropriate anti-malware policies as part of an overall 'defence in depth' approach.
October 2020 Reviewed. No update required. **MAY 2020** Malware protection systems have been reviewed and found to be up to date and effective.

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.07 Monitoring: System monitoring provides a capability that aims to detect actual or attempted attacks on systems and business services. Good monitoring is essential in order to effectively respond to attacks. In addition, monitoring allows you to ensure that systems are being used appropriately in accordance with organisational policies. Monitoring is often a key capability needed to comply with legal or regulatory requirements
Lead Officer Head of ICT
Desired Outcome: Expected Output Security Incident and event management (SIEM) systems in place **Milestones** Certified PSN compliance – May 2021 Bid for funds against LGA cyber security budget.
Progress update. **October 2020** The ICT Network & Cyber Security Manager is working with the Senior Workforce Development officer to implement an elearning/MetaCompliance system for education and awareness following the success of the Kent Connects funding bid. Estimated Council wide deployment November 2020, implementation was delayed due to COVID

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.08 Removable media controls: Removable media provide a common route for the introduction of malware and the accidental or deliberate export of sensitive data. You should be clear about the business need to use removable media and apply appropriate security controls to its use.
Lead Officer Head of ICT
Desired Outcome: Expected Output Removable media policies in place with security controls on user devices

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.08 Removable media controls: Removable media provide a common route for the introduction of malware and the accidental or deliberate export of sensitive data. You should be clear about the business need to use removable media and apply appropriate security controls to its use.
Milestones Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **DECEMBER 2019** Reviewed on 23 December 2019 no update required. Certification complete May 2020 Reaccreditation required May 2021

Strategic Risk SR37 Cyber Security Mitigating Action SR 37.09 Home and mobile working: Mobile working and remote system access offers great benefits, but exposes new risks that need to be managed. You should establish risk based policies and procedures that support mobile working or remote access to systems that are applicable to users, as well as service providers. Train users on the secure use of their mobile devices in the environments they are likely to be working in.
Lead Officer Head of ICT
Desired Outcome: Expected Output Policies in place to ensure mobile working devices are managed and monitored for security breaches. Two factor authentication (2FA) policies in place to manage remote access to systems **Milestones** Certified PSN compliance – May 2021
Progress update. **October 2020** Reviewed. No update required. **JUNE 2020** In light of the COVID and growth in working from home the HR policy is currently under review, once this is complete ICT is going to be a review on the ICT mobile working security policy to ensure that it covers the new HR policy. Certification complete May 2020 Reaccreditation required May 2021

STRATEGIC RISK: SR02 Business continuity and emergency planning
RISK OWNER Director of Place and Deputy Chief Executive
PORTFOLIO: Business management (cross cutting)
Current Residual Risk Score DII (Likelihood – low. Impact – critical) The Emergency Plan is subject to rigorous testing on a regular basis both internally and externally with the plan continually refined as a result to meet the ever-changing needs of the council and local area. An annual presentation on Business Continuity is included at a meeting of all council Service Managers. Assistant Directors are responsible for ensuring that the testing of business continuity plans has taken place. Testing to date has been completed during live incidents. The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan
Inherent Risk Score CI Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency. Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources. The change of council assets / responsibilities going to either commissioned or third party contractors, Medway Norse or Medway Commercial Group also provides unique challenges to the established Roles and responsibilities during planning and response to Emergency Events.
Target Residual Risk Score DII The Council will never be able to reduce the risk further as it is impossible to completely mitigate unforeseen adverse events. The Council needs to consistently complete hard and soft testing of its business continuity plans to ensure it achieves and maintains the DII risk scoring.
Trigger A significant adverse event occurs, and the Council is found wanting or negligent in its planning and/or operational response
Consequence • Response to event is not rapid, adequate nor effective. • Lack of clear communication lines. • Essential service priorities not clearly understood. • Communication between agencies and the public is poor. • There is a perception by residents that the Council does not have a visible presence at the Incident. • Residents expect more from their Council. • Local press quick to seize issue.

STRATEGIC RISK: SR02 Business continuity and emergency planning
• Comparisons made with other local authorities and resilience groups. • A death, or deaths, in the community. • Legal challenge under the 'Civil Contingencies Act 2004'.
Opportunities and the way forward As a result of COVID19 the Corporate Business Continuity Plan and BC training will be reviewed to include best practice, lessons learnt and observations made from the Councils response and recovery plans. Cabinet received a paper on the Councils Covid response on 07 July 2020 and Covid recovery on 25 August 2020.

Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.01: Continued review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified
Lead Officer Director of Regeneration, Culture, Environment & Transformation
Desired Outcome: Expected Output Revised plan agreed by Corporate Management Team. Continued engagement with Kent Resilience Forum. Staff trained in emergency response management at all levels. A sustainable and robust on call rota in place at all levels. Existing plan in place. Programme of on-going review of COMAH plans. Emergency response operations room in place. On call rota in place covering all roles & responsibilities 24/7. **Milestones** Draft plan in place. Call out arrangements in place covering all roles & responsibilities 24/7 (Blue Card) (enhanced during LA stand down Periods). Reduced relevant staff training during 2020
Progress update. August 2020 The COVID-19 Crisis has proved that Medway's Councils Emergency process fit for purpose, focused, prioritised and effective in dealing with this large scale National Major Incident. The Major Emergency Plan gave structure and was flexible enough to bend and evolve with the complexities of this emergency. There are several concerns:

Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.01: Continued review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified

- Training/exercises has been kept to an absolute minimum due to budgetary pressures.
- The Kent resilient Forum is developing and an increase in subscription is expected if current plans within the Kent Resilience Team are realised.
- The Blue Card system of callout requires attention by CNT to identify new staff members to replace those who have left.

Over the COVID-19 period the Blue card system of response would have worked however, the staff needed to carry out the operational functions may not have been available.

- Basic functions of Safe place emergency REST Centre provision were also suspect due to 4 type of evacuee with use of limited staff.
- The increasing "Working from Home call post the COVID-19 Crisis places an undue pressure on immediate during working hours Response and therefore Business Continuity. Simply put unknown staff available, longer response times, more detailed coordination of staff to support our Category one responsibilities.
- I believe it was proved that the working from home (Do not go into work guidance) has significant challenges in relation to managers release staff to be redeployed in other critical services during the COVID-19 Crisis.

A full Lessons Identified process will be undertaken post COVID-19 response phase.

Medway Councils MEP and is now due for review during the 21/22 period.

Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.02: Business continuity plans completed to implement the actions

Lead Officer Director of Regeneration, Culture, Environment & Transformation

Desired Outcome: Expected Output

All services will have an up-to-date and tested Business Continuity Plan.

Business Continuity Management Policy agreed.

Business Continuity Management principles and training provided to divisional management teams across the Council is ongoing.

Corporate Recovery Plan.

IT Recovery Plan in place.

Progress update.

Reviewed 29 September 2020 no update required.

A dashboard to monitor the refresh of business continuity plans by April each year is overseen by the Strategic Risk Management Group and reported six monthly to Corporate Management Team as part of the Corporate Risk Register. Assistant Directors are responsible for ensuring that the testing of plans has taken place. An annual presentation on Business Continuity is included at Service Managers Meeting in September each year. Service Managers are responsible for making staff aware of their Service Business Continuity Plan and

Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.02: Business continuity plans completed to implement the actions
their roles and responsibilities within it. This also forms part of the induction for all new staff.